



IFW

S&H Form: (2/01)  
DOCKET NO. 1761.1083

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Patent Application of:

Kikuo MAEDA, et al.

Serial No: 10/563,764

Group Art Unit: 3682

Confirmation No. 3405

Filed: Examiner: Unassigned

For: ROLLER BEARING ASSEMBLY UTILIZING RACEWAY MEMBERS PREPARED FROM  
STEEL PLATE

REQUEST FOR CORRECTED FILING RECEIPT

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

Sir:

It is requested that the Assignee information on the Official Filing Receipt be corrected. The correct Assignee information is NTN Corporation, Osaka, Japan, as is evidenced by the copy of the Assignment, attached to the application as filed. For the convenience of the Patent and Trademark Office, attached is a photocopy of the original receipt on which the errors have been noted in red.

It is requested that a corrected Official Filing Receipt be issued in this application.

Respectfully submitted,

STAAS & HALSEY LLP

Date:

May 24, 2006

By:

David M. Pitcher

David M. Pitcher  
Registration No. 25,908

1201 New York Ave, N.W., 7th Floor  
Washington, D.C. 20005  
Telephone: (202) 434-1500  
Facsimile: (202) 434-1501



## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
United States Patent and Trademark Office  
Address: COMMISSIONER FOR PATENTS  
P.O. Box 1450  
Alexandria, Virginia 22313-1450  
www.uspto.gov

APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/563,764	01/09/2006	3682	900	1761.1083	3	6	1

CONFIRMATION NO. 3405

21171  
STAAS & HALSEY LLP  
SUITE 700  
1201 NEW YORK AVENUE, N.W.  
WASHINGTON, DC 20005

## FILING RECEIPT



\*OC000000018453815\*

APR 17 2006

Date Mailed: 04/07/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Kikuo Maeda, Mie, JAPAN;  
Tsuneaki Hiraoka, Shizuoka, JAPAN;  
Yasuyuki Watanabe, Shizuoka, JAPAN;

-- Assignment For Published Patent Application --  
-- NTN Corporation, Osaka, JAPAN --

Power of Attorney: The patent practitioners associated with Customer Number 21171.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP04/09797 07/09/2004

## Foreign Applications

JAPAN 2003-279762 07/25/2003

If Required, Foreign Filing License Granted: 04/04/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/563,764**

Projected Publication Date: 07/13/2006

Non-Publication Request: No

Early Publication Request: No

**Title**

Roller bearing with steel plate race

**Preliminary Class**

384

**PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES**

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

---

**LICENSE FOR FOREIGN FILING UNDER  
Title 35, United States Code, Section 184  
Title 37, Code of Federal Regulations, 5.11 & 5.15**

**GRANTED**

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).

# Assignment

## 譲渡証

Japanese Language Assignment

(1-8) Insert Name(s) of Inventor(s)

発明者の氏名を記入すること

(1) Kikuo MAEDA of Mie, JAPAN

(2) Tsuneaki HIRAOKA of Shizuoka, JAPAN

(3) Yasuyuki WATANABE of Shizuoka, JAPAN

(4)

(5)

(6)

(7)

(8)

各々の署名人に対して支払われた総額1ドル  
(\$1.00)および他の適切な有価約因を考慮して、各々の署名人は

In consideration of the sum of one dollar (\$1.00) and  
other good and valuable consideration paid to each of the  
undersigned, each undersigned agrees to assign, and hereby  
does assign, transfer and set over to

(9) Insert Name of Assignee

譲受人氏名を記入すること

(9) NTN CORPORATION

(10) Insert Address of Assignee

譲受人住所を記入すること

(10)

3-17, Kyomachibori 1-chome, Nishi-ku, Osaka-shi, OSAKA 550-0003 JAPAN

(以降譲受人と称する)に対して、譲渡に同意し、ここに譲渡し、米国法第35章第100条に定義されるごとく、この発明および仮出願、非仮出願、分割出願、継続出願、差替え出願、及び再発行出願、および前記発明に関するすべての特許証、延長証、再発行証、再審査証を含む特許のための全ての出願において、アメリカ合衆国のためのすべての権利、所有権、および利益を譲受人の継承人、後継者、非譲渡者、および法定代理人に移転および譲渡し、

(hereinafter designated as the Assignee) and Assignee's heirs, successors, assigns and legal representatives, the entire right, title and interest for the United States of America as defined in 35 U.S.C. §100, in the invention, and in all applications for patent including any and all provisional, non-provisional, divisional, continuation, substitute, and reissue application(s), and all Letters Patent, extensions, reissues and reexamination certificates that may be granted on the invention known as

(11) Insert Identification such as Title, Case Number, or Foreign Application Number

名称、事件番号、もしくは外国出願番号のような確認事項を記入のこと

(11) Roller Bearing Assembly Utilizing Raceway Members

Prepared From Steel Plate

(Attorney Docket No.

)

弁護士整理番号



前記署名人が下記の日付でアメリカ合衆国において特許出願を  
履行するものであり、

for which the undersigned has (have) executed an application  
for patent in the United States of America on even date  
herewith

Or  
もしくは

(12) Insert Date of Signing of Application  
出願に署名する日付を記入のこと

(12) on \_\_\_\_\_

(13) Alternative Identification for filed applications  
提出された出願のための代案確認事項

(13) U.S. application Serial Number  
右記の米国出願整理番号で  
Filed: \_\_\_\_\_

上記日付において提出されたものである。

1)  
各々の署名人は前記発明のための出願関係および、  
継続出願、分割出願、再発行出願およびこの件に関  
しての発行する特許において、必要な全ての書類を  
履行することに同意し、譲受人が必要と思われる、  
このような出願および特許に関しての別途譲渡証を  
履行することにも同意する。

2)  
各々の署名人は、前記発明のための、出願もしくは  
継続出願、もしくはその分割出願、特許もしくはそ  
れに基づく再発行出願に関して宣言されるインター  
フェレンスに関して必要な全ての書類を履行するこ  
とに同意し、証拠取得およびそのようなインターフ  
ェレンスを進行するにあたり、いかなる方法におい  
ても前記譲受人と協力することに同意する。

3)  
各々の署名人は、すべての用紙および書類を履行し  
、国際工業所有権保護協定の請求もしくは規定もし  
しくは類似協定に関して必要ないかなる行為を施行す  
ることに同意する。

4)  
各々の署名人は、前記譲受人に対して有効な米国特  
許の承認を取得し、維持し、もしくは再発行もしく  
は再審査により、確認するために、必要なすべての  
積極的な行為を履行することに同意する。

5)  
各々の署名人は、全ての利益の譲受人として、特許  
庁長官に前記出願から発生したすべての米国特許証  
を前記譲受人に対して発行することを許可および請  
求し、ここに署名するにおいて、譲受人は全ての利  
益を譲るためのすべての権利を有し、対立関係にあ  
る協定を過去に履行することなくもしくは将来履行  
しないことを誓約し、この協定が前記譲受人、譲受  
人の継承人、後継者、非譲渡者、および法定代理人  
に法的義務を負わせるものであることに同意する。

6)  
各々の署名人は、この書類の記録上、米国特許商標  
庁の規定に従うために、必要もしくは所望であれば  
この譲渡証にさらに確認事項を記入するための権利  
が(事務所名を下記に記入)

STAAS & HALSEY LLP

事務所に付与されていることをここに承認する。

1) Each undersigned agrees to execute all papers  
necessary in connection with any application and any  
continuing, divisional or reissue applications for the  
invention, and any patent(s) issuing thereon, and also to  
execute separate assignments in connection with such  
applications and patents as the Assignee may deem necessary.

2) Each undersigned agrees to execute all papers  
necessary in connection with any interference which may be  
declared concerning any application or continuation or  
division thereof, or any patent or reissue application based  
thereon, for the invention, and to cooperate with the Assignee  
in every way possible in obtaining evidence and going  
forward with such interference.

3) Each undersigned agrees to execute all papers and  
documents and perform any act which may be necessary in  
connection with claims or provisions of the International  
Convention for Protection of Industrial Property or similar  
agreements.

4) Each undersigned agrees to perform all affirmative  
acts which may be necessary to obtain, maintain or confirm by  
reissue or reexamination a grant of a valid United States  
patent to the Assignee.

5) Each undersigned authorizes and requests the  
Commissioner of Patents to issue any and all Letters Patents  
of the United States resulting from said application(s) to the  
said Assignee, as Assignee of the entire interest, and  
covenants that he has full right to convey the entire interest  
herein assigned, and that he has not executed, and will not  
execute, any agreements in conflict herewith, and agrees that  
this assignment is binding on him and his heirs, successors,  
assigns and legal representatives.

6) Each undersigned hereby grants the firm of STAAS  
& HALSEY LLP the power to insert on this assignment any  
further identification that may be necessary or desirable in  
order to comply with the rules of the United States Patent and  
Trademark Office for recordation of this document.



証人立ち会いのもとで、署名人の隣の日付をもってこの署名が履行される。

In witness whereof, executed by the undersigned on the date(s) opposite the undersigned name(s).

Date December 22, 2005  
日付

Inventor Signature  
発明者署名

Kikuo Muroda (SEAL )  
印

Date December 22, 2005  
日付

Inventor Signature  
発明者署名

Tsuneki Hiraoka (SEAL )  
印

Date December 22, 2005  
日付

Inventor Signature  
発明者署名

Yasuyuki Watarabe (SEAL )  
印

Date \_\_\_\_\_  
日付

Inventor Signature  
発明者署名

\_\_\_\_\_ (SEAL )  
印

Date \_\_\_\_\_  
日付

Inventor Signature  
発明者署名

\_\_\_\_\_ (SEAL )  
印

この譲渡証は(a)アメリカ合衆国内で署名される際には公証人の面前で、(b)アメリカ合衆国外で署名される際には米国領事の面前で署名されるべきである。(a)もしくは(b)が不可能な際には、下記に署名する少なくとも二人の証人の面前で署名されるべきである。

This assignment should preferably be signed before: (a) a Notary Public if within the U.S.A. (b) a U.S. Consul if outside the U.S.A. If neither, then it should be signed before at least two witnesses who also sign here:

Date \_\_\_\_\_  
日付

Witness  
証人

\_\_\_\_\_

Date \_\_\_\_\_  
日付

Witness  
証人

\_\_\_\_\_